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| <b>TRANSMITTAL LETTER TO THE UNITED STATES<br/>DESIGNATED/ELECTED OFFICE (DO/EO/US)<br/>CONCERNING A SUBMISSION UNDER 35 U.S.C. 371</b>   |  | ATTORNEY'S DOCKET NUMBER<br><b>37737-012</b>                         |
| INTERNATIONAL APPLICATION NO.<br><b>PCT/GB03/05565</b>  |  | U.S. APPLICATION NO. (If known, see 37 CFR 1.5)<br><b>10/540,161</b> |
| INTERNATIONAL FILING DATE<br><b>18 December 2003</b>  |  | PRIORITY DATE CLAIMED<br><b>20 December 2002</b>                     |
| TITLE OF INVENTION<br><p style="text-align: center;"><b>Nanostructures</b></p>  |  |  |
| APPLICANT(S) FOR DO/EO/US<br><p style="text-align: center;"><b>University of Nottingham</b></p>   |  |  |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:   |  |  |
| 1. <input type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a submission under 35 U.S.C. 371.   |  |  |
| 2. <input checked="" type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a submission under 35 U.S.C. 371.  |  |  |
| 3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. |  |  |
| 4. <input type="checkbox"/> The US has been elected (Article 31).   |  |  |
| 5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))  |  |  |
| a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).   |  |  |
| b. <input type="checkbox"/> has been communicated by the International Bureau.  |  |  |
| c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).  |  |  |
| 6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).  |  |  |
| a. <input type="checkbox"/> is attached hereto.   |  |  |
| b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).  |  |  |
| 7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))  |  |  |
| a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).  |  |  |
| b. <input type="checkbox"/> have been communicated by the International Bureau.   |  |  |
| c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.   |  |  |
| d. <input type="checkbox"/> have not been made and will not be made.  |  |  |
| 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).   |  |  |
| 9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).   |  |  |
| 10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).                   |  |  |
| <b>Items 11 to 20 below concern document(s) or information included:</b>  |  |  |
| 11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.  |  |  |
| 12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.  |  |  |
| 13. <input type="checkbox"/> A preliminary amendment.   |  |  |
| 14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.   |  |  |
| 15. <input type="checkbox"/> A substitute specification.  |  |  |
| 16. <input type="checkbox"/> A power of attorney and/or change of address letter.   |  |  |
| 17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821- 1.825.  |  |  |
| 18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4).  |  |  |
| 19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).  |  |  |

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

|   |              |   |          |   |                     |
|---|--------------|---|----------|---|---------------------|
| <b>U.S. APPLICATION NO. (if known, see 37 CFR 1.5)</b><br><b>10/540,161</b>   |              | <b>INTERNATIONAL APPLICATION NO.</b><br><b>PCT/GB03/05565</b>                 |          | <b>ATTORNEY'S DOCKET NUMBER</b><br><b>37737-012</b> |                     |
| 20. Other items or information:<br><br><b>Express Mail Label No. ED 697531765 US</b><br><b>Date of Deposit: June 6, 2006</b>  |              |   |          |   |                     |
| The following fees have been submitted  |              |   |          | <b>CALCULATIONS</b>                                 | <b>PTO USE ONLY</b> |
| 21. <input type="checkbox"/> Basic national fee (37 CFR 1.492(a))..... \$300  |              |   |          | \$  |                     |
| 22. <input type="checkbox"/> Examination fee (37 CFR 1.492(c))  |              |   |          | \$  |                     |
| If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)..... \$0   |              |   |          |   |                     |
| All other situations..... \$200   |              |   |          |   |                     |
| 23. <input type="checkbox"/> Search fee (37 CFR 1.492(b))   |              |   |          | \$  |                     |
| If the written opinion of the ISA/US or the International preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)..... \$0  |              |   |          |   |                     |
| Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority..... \$100  |              |   |          |   |                     |
| International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB..... \$400   |              |   |          |   |                     |
| All other situations..... \$500   |              |   |          |   |                     |
| <b>TOTAL OF 21, 22 and 23 =</b>   |              |   |          |   |                     |
| <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)).<br>The fee is \$250 for each additional 50 sheets of paper or fraction thereof. |              |   |          |   |                     |
| Total Sheets  | Extra Sheets | Number of each additional 50 or fraction thereof (round up to a whole number) | RATE     |   |                     |
| - 100 =   | /50 =        |   | x \$250  | \$  |                     |
| Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).   |              |   |          | \$ 130.00   |                     |
| CLAIMS  | NUMBER FILED | NUMBER EXTRA  | RATE     | \$  |                     |
| Total claims  | - 20 =       |   | x \$ 50  | \$  |                     |
| Independent claims  | - 3 =        | 0   | x \$ 200 | \$  |                     |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable)   |              |   | + \$360  | \$  |                     |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>  |              |   |          | \$  |                     |
| <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.   |              |   |          | 65.00   |                     |
| <b>SUBTOTAL =</b>   |              |   |          | \$ 65.00  |                     |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).   |              |   |          | \$  |                     |
| <b>TOTAL NATIONAL FEE =</b>   |              |   |          | \$  |                     |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property  |              |   |          | \$  |                     |
| <b>TOTAL FEES ENCLOSED =</b>  |              |   |          | \$ 65.00  |                     |
|   |              |   |          | Amount to be refunded:                              | \$                  |
|   |              |   |          | Amount to be charged                                | \$                  |

06/09/2006 LLANDGRA 00000063 10540161

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65.00 OP

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

- a. ☒ A check in the amount of \$ 65.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- c. ☐ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit  
Account No. \_\_\_\_\_. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not  
be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed  
and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

Sonia K. Guterman  
Lawson & Weitzen, LLP  
88 Black Falcon Ave., Suite 345  
Boston, MA 02210



SIGNATURE

Sonia K. Guterman

NAME

44,729

REGISTRATION NUMBER



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 www.uspto.gov

|                             |                       |                  |
|-----------------------------|-----------------------|------------------|
| U.S. APPLICATION NUMBER NO. | FIRST NAMED APPLICANT | ATTY. DOCKET NO. |
| 10/540,161                  | Duncan Hudson Gregory | 37737-012        |

|                               |
|-------------------------------|
| INTERNATIONAL APPLICATION NO. |
|-------------------------------|

PCT/GB03/05565

48425  
 LAWSON & WEITZEN, LLP  
 88 BLACK FALCON AVE  
 SUITE 345  
 BOSTON, MA 02210

|                 |               |
|-----------------|---------------|
| LA. FILING DATE | PRIORITY DATE |
| 12/18/2003      | 12/20/2002    |

CONFIRMATION NO. 3595

371 FORMALITIES LETTER



\*OC000000018636957\*

Date Mailed: 04/27/2006

### NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Indication of Small Entity Status
- Copy of the International Application filed on 06/17/2005
- Copy of the International Search Report filed on 06/17/2005
- Copy of IPE Report filed on 06/17/2005
- Preliminary Amendments filed on 06/17/2005
- Request for Immediate Examination filed on 06/17/2005
- U.S. Basic National Fees filed on 06/17/2005
- Priority Documents filed on 06/17/2005
- Specification filed on 06/17/2005
- Claims filed on 06/17/2005

The applicant needs to satisfy supplemental fees problems indicated below.

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
- To avoid abandonment, a surcharge (for late submission of filing fee, search fee, examination fee or oath or declaration) as set forth in 37 CFR 1.492(h) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.

SUMMARY OF FEES DUE:

RECEIVED

MAY 01 2006

LAWSON &amp; WEITZEN, LLP

Total additional fees required for this application is \$65 for a Small Entity:

- \$65 Surcharge.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

KAYA L LEWIS BALTIMORE

Telephone: (703) 308-9140 EXT 202

**PART 1 - ATTORNEY/APPLICANT COPY**

| U.S. APPLICATION NUMBER NO. | INTERNATIONAL APPLICATION NO. | ATTY. DOCKET NO. |
|-----------------------------|-------------------------------|------------------|
| 10/540,161                  | PCT/GB03/05565                | 37737-012        |

FORM PCT/DO/EO/905 (371 Formalities Notice)

Attorney Docket No. 37737-012  
Express Mail Label No. ED 697531765 US  
Date of Deposit: June 6, 2006

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

APPLICANTS : Gregory et al.  
SERIAL NUMBER : 10/540,161 EXAMINER : Not yet assigned  
FILING DATE : June 17, 2005 ART UNIT : Not yet assigned  
FOR : Nanostructures

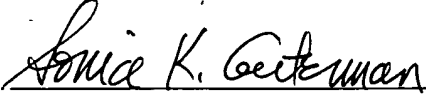
Mail Stop PCT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Response to Notification of Missing Requirements Under 35 U.S.C. 371

Responsive to a Notice of Missing Requirements under 35 U.S.C. § 371 mailed from the U.S. Patent and Trademark Office on April 27, 2006, Applicants submit the executed inventor's Oath/Declaration herewith to complete the requirements for acceptance under 35 U.S.C. § 371.

A check in the amount of \$65.00 for the surcharge for late filing of the oath is enclosed, along with a Transmittal Letter to the United States Designated Office for a second submission of items under 35 U.S.C. 371, and a copy of the Notice of Missing Requirements. As this Response is filed before June 27, 2006, Applicants believe that no fee for an extension of time is due.

Respectfully submitted,

  
Sonia K. Guterman, Reg. No. 44,729  
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Lawson & Weitzen, LLP  
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Tel: (617) 439-4990  
Fax: (617) 439-3987  
Customer Number 48425

Date: June 6, 2006